# FD758

## Jennifer Elwood

From:

newaccounts@pfmail.com

Sent:

Monday, February 11, 2008 3:26 PM

To:

Jennifer Elwood; nsrt@jdfx.com; trevorc@popp.net; maryanne@folioadmin.com;

ruby@folioadmin.com

Subject:

PFG New Live Forex Account

Congratulations James D. Pieron.

Welcome to PFG, Inc. This e-mail is to confirm your new account has been opened, you will find logir details and account specific information below. Should you ever have any questions regarding your account please feel free to contact customer support at 312-775-3572.

WEBSITE LOGIN: Username: FD758 Passworg: fs33rt

URL: https://www.pfgforex.com

ACCOUNT INFORMATION: Forex Account: FD758 JDFX Fund Ltd.

James D. Pieron Usteristrass9 8001 Zurich, CH, Switzerland

e-mail: nsrt@jdfx.com Phone: 41434436900

Broker: (3F186) - UBS Diversified, LLC

POA: IRA:

Letter of Direction:

### FUNDING INFORMATION:

If you have not yet funded your account please click the link below in order to access our account funding instructions: https://www.pfgforex.com/ClientServices/FundingAccount.aspx

Foreign Exchange ("Forex": transactions entered into with PFG are not traded on an exchange. Therefore, under the U.S. Bankruptcy Code, your funds may not receive the same protect ons as funds used to margin or guarantee exchange-traded futures and options contracts, which receive a priority in bankruptcy. Since that same priority has not been given to funds used for off-exchange forex trading, if PFG becomes insolvent and you have a claim for amounts deposited or profits earned on transactions with PFG, your claim may not receive a priority. Without a priority, you are a general creditor and your claim will be paid, along with the claims of other general creditors, from any monies still available after priority claims are paid. Even customer funds that PFG keeps separate from its own operating funds may not be safe from the claims of other general and priority creditors.

## MANAGED (ACCOUNT):

If you are a managed account customer or participating in an automated system you may review your account via our online account access 24 hours per day through our website: https://www.pfgforex.com

Select: Client Area from the menu on the left-hand side of the page and when prompted enter your Login ID and password as noted above.

#### SELF-DIRECTED TRADER:

If you are a self directed trader (Placing trades on your own without a system on Trading manager you may access your account information through the webpage: https://www.pfgforex.com/client

For further details, please visit our website: https://www.pfgforex.com

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Individual #1:			
Full Name:	Tomes N. L	) Mon	D 101 1 LA
Sirget Address: Lari	washindans	2 715)	- Diment Blink LAST 1, 13651
an Zurich	Claire	W SON	Apprinent/Sulte
Telephone: +41 47	3 443 (8900)	Soc See For has IDE	Maria Spring
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Employer's Name:		Clocked All 1990 what the	7:1
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Individual #2:			
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## Customer Agreement

The following confidenced framebol information is needed to open your account, labor of Parinctalian Customers must provide confidence impacion information. For information on completing the following, her paintered 24 or the Customer Agreement.

ALL questions i	rust be answered.
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3. Lloyd Net Words (U.S. Dullare); III. Over \$50,000. II \$00,000 to \$50,000. II \$13,000 to \$50,000.	<ol> <li>Does not citled person, other than the account owners) have the authority to indee this account? If Yes in No. If yes, complete the Discretionary Account Discuments.</li> </ol>
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9. Do you intent to study accepting futures produced AFP7?  O Yes (See SFP and directions on page 21) A big  If yes, what are you investment injective first solerance?	17: PFG currently charges a postage and shuthing fee for each daily confilmation
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defined by SDC Rule 143? This would likelode, but not necessarily limited by 10% supreholders, policy and ing executives and anothers of the Board of Directors.  Dyes Triding Symbol.  Company Nama	and the state of t
The undersigned hereby specific) and usurely that the above information is complete information. The analysis and further verifies that the above information is as complete.	ngà accurate and ambor kels) PFG to recify airs or all of the himpologicable Cash Castomer's own handwriting.
Customer Signature	
Print Name James Hieron	Dm24/9/67
Customer Signature	and the first of the first of the second
Prins Name	Date

Percegine Financial Group 190 S. La Salle Street 7<sup>th</sup> Floor Chicago, IL 60603

To: The New Accounts Department

Please be advised that our corporate account is being traded with corporate fouds only. We also do not soliou customer funds.

Print Name
Signature
Print Name

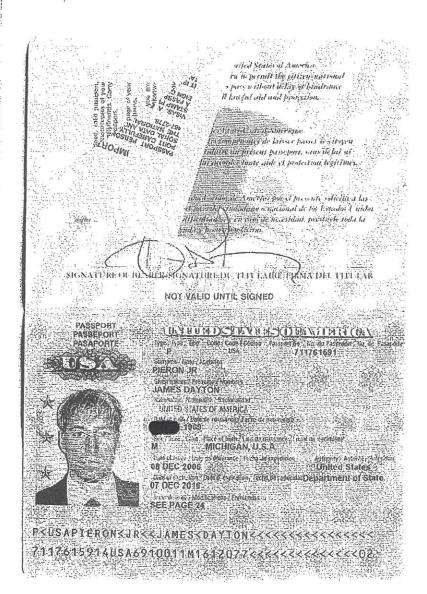
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TO- PFGBEST.COM P003/004



**Monthly Account Statement** 

Individual James D. Pteron Usteristrass 9 Zurich 8001 Switzerland



2010-12

Introduced by: UBS Diversified, LLC Broker code: 328 Account type: Investor Account number: FD758

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			USD			A STATE OF THE PARTY OF THE PAR
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Ending Balance	Pending Wires	OTE	Security on Deposit	Liq Value	Margin Amount	Margin Excess
0.00	0.00	0.00	0.00	0.00	0.00	00.0

Please report any errors or irregularities immediately to 312-775-3450. The falters to immediately advise Peregrine Financial Group ("PFG"), of any such errors or irregularities will be deemed your agreement that this statement is correct and has been radiiod. Compensation for foreign exchange transactions may include rebates, markups and/or commission paid to your broker. For further information regarding compensation paid to your broker, please contact PFG.

## **Monthly Account Statement**



James D. Pieron JDFX Fund Ltd.

8001 Zurich, CH Switzerland

Trading Session Date: 01-Sep-2008 To 30-Sep-2008

FD758

	The state of the s	SUMMARY
	As Of 30-Sep-2008	USD
	Beginning Balance	0,00 USD
	Commissions	0,00 USD
	NFA Fees	0.00 USD
199	Total PNL	0.00 USD
	Roll Charges	0.00 USD
	Wires And Checks	0.00 USD
	Journal Entries	0.00 USD
	Ending Balanco	0.00 USD
	Open Trade Equity	0.00 USD
	Liquidation Value	0.00 USD
	Margin Amount	0.00 USD
	Margin Excess	0.00 USD

Please report any errors or irregularities immediately to 312-775-3450. The failure to immediately advise Peregrine Financial Group ("PFG"), of any such errors or irregularities will be deemed your agreement that this statement is correct and has been ratified. Compensation for foreign exchange transactions may include rebates, markups and/or commission paid to your broker. For further information regarding compensation paid to your broker, please contact PFG.

## FD864

----Original Message----

From: James Pieron [mailto:james.pieron@jdfx.com]

Sent: Tuesday, July 07, 2009 2:16 PM

To: Bruce Pollack

Subject: RE: James Pieron

Already faxed everything except the "own funds letter". Do you have a template for that?

Thanks,

From: Bruce Pollack [bpollack@pfgbest.com] Sent: Tuesday, July 07, 2009 3:11 PM To: Meredith Parizek; James Pieron Cc: Nolan Schiff; Wendy Swarens Subject: RE: James Pieron

James,

Can you provide Meredith with the following?

Meredith,

You can use sales code 181.

Thanks, Bruce

[cid:image001.gif@01C9FF0B.A090D820]

Bruce Pollack, Vice President Forex Division 190 S. LaSalle St., 7th Floor Chicago, IL 60603 312-775-3486 | 312-775-3095 fax [cid:image002.gif@01C9FF08.A090D820]

From: Meredith Parizek

Sent: Tuesday, July 07, 2009 1:54 PM

To: Bruce Pollack Subject: James Pieron

Bruce,

To open the account for James Pieron, I will need:

Photo ID W8 Sales code Own Funds letter What is his job?

Thank you!

[cid:image001.gif@01C9FF0B.A090D820]
Meredith Parizek, New Accounts Department
3812 Cedar Heights Drive
Cedar Falls, IA 50613
319-277-5240 | 319-277-0880 fax
[cid:image002.gif@01C9FF0B.A090D820]

I am using the Free version of SPAMfighter<a href="http://www.spamfighter.com/len">http://www.spamfighter.com/len</a>. We are a community of 6 million users fighting spam. SPAMfighter has removed 7363 of my spam emails to date. The Professional version does not have this message.

I am using the free version of SPAMfighter.
We are a community of 6 million users fighting spam.
SPAMfighter has removed 7363 of my spam emails to date.
Get the free SPAMfighter here: <a href="http://www.spamfighter.com/len">http://www.spamfighter.com/len</a>

The Professional version does not have this message

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	IP address:	84.253,16.150
	Office - Account Number:	
	. Updale	
	Broker:	Bruce Polisck
	Account Doc. Version:	v 2.0.0508
	Account Type:	Individual, Speculative
	Trade FOREX;	yes
	Managed Account:	no
	Trading System Used:	по
	Account Name:	James Pleron
	Account Address:	Universitaetakasse 112
	Account Phone:	Zurich, Non-U.S. 8006
	Account Email:	+41763622400
	Email Statements:	jo@jdh.com
	Littan Oldpittelilis:	Yes
	Customer Information	
	Name:	EAT SITE (SANS SANS AND AND SANS AND SA
	DOB:	Mr. James Pleron
	Address:	10/1/1969
	nouress.	Universitaetstresse 112 Zurich, Norv-U.S. 8006
	Home Phone:	+41763622400
	Work Phone:	none given
	Cell Phone:	none given
	U.S. Citizen:	no
	Country:	Switzerland
	Social Security #:	The SSID
70	Marital Status:	single
	# of Dependents:	0
	Employer:	JDFX
	Years there:	7
	Nature of Business;	FX
	Position Held:	CEO
	Employer Telephone:	+41763622400
	Employer Address:	Uslaristrassa 9 CH-8001 Zurkh
	Financial Information	
	Annual Income:	over \$100,000
	Net Worth:	over \$100,000
	Liquid Net Worth:	over \$50,000
	Have you ever declared bankruptcy?	no
	Other PFG Accounts:	na
	NFA, NASD, CFTC, or NFA member:	no
	Previous Experience	
	Previous Experience Stocks/Bonds: Commodities:	no

Peregrine Financial Group, Inc. - New Accounts

Page 2 of 2

	Mutual Funds:	no	
	FOREX:	Vest	
	Investment Objective:	Speculation	
	Understand Risk of Loss:	Ves	
	Control Person (SEC Rule 144):	no	
	Company Name:		
	Trading Symbol:		
	Principal Bank Relerence:	Karin Barmettler, UBS , Zurich	
	Have you ever been party to an investigation, or other?	complaint, or settlement with the NFA, CFTC, SEC,	
	no		
	Do you have a pending complaint, or have you commodity futures or securities account?	ever made a complaint, regarding a past	
	no		
	Additional Documents		
	I have read the	following Documents:	
	Risk Disclosure		
	Customer Agreement:	I agree to all of the terms of the Customer Agreement.	
	Foreign Currency Transaction Notice:	I agree to all of the terms of the Foreign Currency Transaction Notice.	
	Jurisdiction and Venue Provisions:	l agree to all of the terms of the Jurisdiction and Venue Provisions.	
	Risk Disclosure;	I understand the Risk Disclosure.	
	SFP Disclosure:	I understand the SFP Disclosure.	
	e-sign: James Pieron date: 07/07/2009		
	Additional Info [show/hide]:		
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Contect the Webmaster			
	© 200	9 PFG, Inc.	

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<b>\\ PFG New Accounts</b>	Friday, July 10, 2009
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Traders Challenge: Not Unked to Accounts Linked	to Accounts
Checklist For: 20090707PIEJA	M911954
Office: F	Account: FQ562
Account Title: Account Type:	James Pieron Individual, Speculative
Broker: Sales Series: RT Comm:	
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Managed By:	
CDC Check	
Name:	Slacey Magneson
Date: 1	7/8/2009
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New Acounts	
Manager: L	
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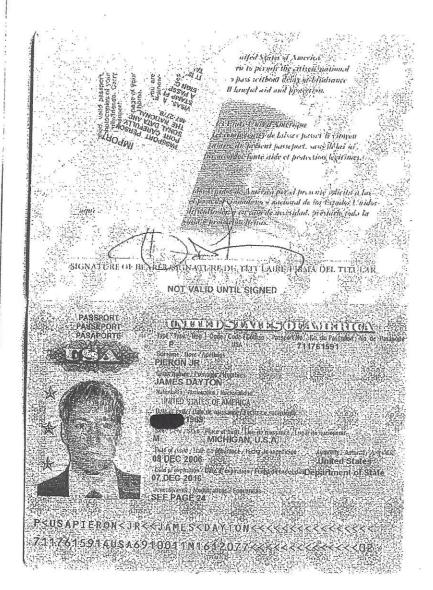
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Contact the Webmaster		
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	© 2009 PFG, Inc.	

Peregrine Financial Group, Inc. - New Accounts

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Peregrine Financial	Group, Inc.	- New	Accounts
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Page 2 of 2

Bruce,	
To open the account for James Pieron, I will need:	
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Own Funds letter What is his job?	
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in sales with account with UBS Diversified/mp	
Contact the Webmester	
	\$
© 2009 PFG, Inc.	

APPLICATIONÀHĀ,@,, NOTEXTPAGE Peregrine Financial Group 190 S. LaSalle Street 7th Ploor Chicago, IL 60603

To: The New Accounts Department

This letter will confirm that I/we do not solicit any customer funds. I /we are using our own funds to trade this account.

(一分か)

Date

JAMES TIERO

-

P.C.

Print Name

Signature \

ATTU: MEREDITH PARIZEK

CID: 2009070707PIEJAM911954

APPLICATIONÀHÄ,@,, NOTEXTPAGE ATTN: BRUCE POLLACK

FROM: SAMES PIERON (UDFX)

HPAGES: 4

RECEIVED 07-07-'09 13:56 FROM-

TO- PFGBEST.COM

P001/004

07 Jul 2009 20:03

JDFX

Open an Account

p.2

Page 1 of 2

F MODERAND TYPE

> mint Otherware



## Account Complete

Submission Successful! Thank you for applying for a PFG account online.

We are currently reviewing the information you have submitted and will contact you regarding the status of your account at the contact number you provided. If you have any questions, please call 800.333.5673 with the following account reference number.

NOTE: To further protect the security of your account information, or to fill out another account, you should close your browser window before accessing another Web site.

Account Reference Number: 20090707PIEJAM911954

Until you receive your permanent account number please use this reference number on all correspondence.

FUNDING instructions [Domestic and Foreign]: http://www.pfaBest.com/fund/

### Additional Regulard Documents:

The following documents are required prior to opening your account. Please print, sign, and fax to 312.775.3049, include account reference number 20090707PIEJAM911954 on all correspondence. Your account cannot be approved for trading until these additional documents are received.

W-BBEN (foreign account)

in order to comply with the Patriot Act, please also fax a photocopy of a government issue id (i.e. passport, driver's license)

## Optional Document(s):

The following documents are optional. Please review them and, if necessary, print, sign, and fax to 312.775.3049, include account reference number 20090707PIEJAM911954 on all correspondence.

Arbitration Agreement

Account Transfer Forms

Customer Copy:

Please print the following documentation for your records:

Risk Disclosure

A special offer from SFO megazine:

https://www.wascndorfandassociates.com/pfg/accounts/openAcct/openAcct11\_checkout.as...

7/7/2009

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P002/004

Certificate of Foreign Status of Beneficial Own	er
(Rev. February 2000)  Department of the Treesury Internal Revenue Service  Section references are to the Internal Revenue Code. See separate instru	OMB No. 1546-1621
Great the soft to the without of power. Do not send to the IDC	
Do not use this form for  A U.S. citizen or other U.S. person, including a resident alien individual  A person claiming that income is effectively connected with the conduct of a trade or business in the United States.	Instead, use Form
A foreign permerane, a soreign simple trust, or a foreign grantor trust (see instructions for exceptions)  A foreign government, international organization, foreign central bank of issue, foreign tax-exampt organization claiming the spoiloselith of sections of a U.S. possession that received effectively connected income or claiming the spoiloselith of sections in the spoiloselith of sections of the sections.	n, that is
Note: These entities should use Form W-8BEN if they are claiming treaty benefits or ere providing the form only to claim they are a toreign person exempt from backup withholding.  A person acting as an intermediary.	
Note: See Instructions for additional exceptions.	W-BIMY
Part I Identification of Seneficial Owner (See Instructions.)	
1 Name of individual or committee that I at a	
James Pieron	of incorporation or organization
3 Type of beneficial owner: M Individual Corporation Discoparded entity P	artnership Simple trust
Grantor trust Gomplex trust Estate Government In	terrational organization
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-or Universitaetetrasse 112	f address.
City of fours state or presince include and leaders	***
CH-8006, Zurich	Country (do not abbreviate) Switzerland
a morali non accord	Description Fig. 6
City or town, state or province, include postal code where appropriate.	Country (de not abbreviate)
6 U.S. taxpayer Identification number, if required (see instructions) 7 Foreign tax iden	tifying number, if any (optional)
8 Reference number(s) (see instructions)	
Part II Claim of Tax Treaty Benefits (if applicable)	
B I certify that (check all that apply):	
a harmonical overer is a resident of Switzer lared	
- and	
applicable, meets the requirements of the tresty provision design with limitation on benefits (see instruc-	findel
d L. The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign U.S. trade or business of a foreign corporation, and moots qualified resident status less instructions.	corporation or interest from a
The beneficial owner is related to the person obligated to pay the income within the meaning of section form 8633 if the amount subject to withholding received during a calendar year exceeds, in the aggrega-	267(b) or 707(b), and will tile
10 Special rates and conditions (if applicable—ase instructions): The beneficial owner is claimed the product	an of Arthite and Arthite are
weaty identified on and the above to claim a % rate of withholding as feneral, have of income!	
Capital tile masons the penencial owner meets the terms of the treaty article:	
Part III Notional Principal Contracts	
11 I have provided or will provide a statement that identifies those notional principal contracts from which to connected with the conduct of a trade or business in the United States. I agree to update trit statement	he income is not effectively t as required.
Part IV Certification	
inder penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief urther certify under penalties of perjury that:	It is true, correct, and complete, I
I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates.  The beneficial owner is not a U.S. person.	
The income to which this form relates is (a) for effectively observed with the conduct of a trade or business in the United State:	a, (b) effectively connected but is
For broker transactions or barter exchanged, the beneficial owner by an exempt foreign person as defined in the instructions.	-
The income to which this form relates is (o) not directively connected with the conduct of a trade or business in the United States on subject to tax under an income tax treaty or (c) the partner's shape of a partnerships effectively connected income, and for trusted ones or barter exchanges, the beneficial owner is our exempt foreign person as defined in the instructions, untharmore, I authorize this form to be provided to any untripolating agent that has control, receipt, or custody of the income of with my withholding agent that can disburse or make payments of the income of which I am the beneficial owner.	nich I am the beneficial owner or
Signatura of baneficial owner (or individual authorized to sign for baneficial owner)  Date (MM-DD-YYY)	Y) Capacity in which soting
or Paparwark Reduction Act Notice, see asparate instructions.  Cat. No. 25047Z  Printed on Recycled Paper	Form W-BBEN (Rev. 2-2006)

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P003/004

07 Jul 2009 20:03 JDFX



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TO- PFGBEST.COM

P004/004

PFGQQ0516

Monthly Account Statement

Individual James Pieron Universitaetstrasse 112 Zurich 8006 Switzerland PFG BEST.

Self-Directed Account (Sales Code 181) FQ562JDFX

2009-11

			count Balance usb	The second of th		A Parameter of Table 1 (2005) and the Committee of the Co
Beginning Balance	Commissions	Fees	Profit/Loss	Roll Charges	Wires and Checks	
50,000.03	00.0	0.00	0.00	0.00	0.00	
Ending Balance	OTE	Security on Deposit	Liq Value	Margin Amount	Margin Excess	Journal Entries
50,000.03	0,00	0.00	50,000.03	0.00	50,000.03	0.00

Please report erry errors or irregularities immediately to 312-775-3450. The failure to immediately advise Peregrina Financial Group ("PFG"), of any such errors or irregularities will be deemed your agreement that this statement is correct and has been ratified. Compensation for foreign exchange transactions may include rebales, markups and/or commission paid to your broker. For further information regarding compensation paid to your broker, please contact PFG.

		Account Application	
• Please print in ink	• Do not type	• Designate N/A for the	ose areas that do not apply
Check Only One			
O Individual	□ Trust	[] General Partnership	☐ Joint Tenants with Right of Survivorship
☐ Sole Proprietorship	Corporation/LLC	☐ Limited Partnership	☐ Joint Tenants in Common
D Pension Plan'IRA	☐ Commodity Pool	Other	
ACCOUNT INFORMATI	ION IB Ted	mologies Inc.	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
Account Mailing Address:	dods De	ison Dr. Julte	4 Mt Pleasant MIL 48858
Clephone number for account	t transaction information:	784-14-15	84
-mail Address:			
ther identifying documents.  Individual #1:.  Individual	Piecon State: MT -774-7893	Zip: 4888 Soc. Sec. # or Tax ID#: Citizen Tyes II No. If no, what	Years There:25
nployer's Telephone. 180	1-774-7589	Employer's Address:	Position Held: CEO
joint account, percentage of t		Employer's Address: 2	4885
dividual #2:	•		18604
	A		Date of Birth:
			Apartment/Suite-
ty:S	tate:	Zip:	Marital Status:
ployer's Name:		, , , , , , , , , , , , , , , , , , , ,	Years There:
ture of Business:			Position Held:
			roston nett.
joint account, percentage of c		Land and supply property of the same of th	And a second sec
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v2.0.0508

### **Customer Agreement**

The following confidential financial information is needed to open your account. Joint or Partnership Customers must provide combined magnetal information. For information on completing the following, see puregraph 24 of the Customer Agreement.

## ALL QUESTIONS MUST BE ANSWERED.

1. Angúal Income (U.S. Dollars):	11. Do you understand:
M Over \$1/41,000	at Futures Trinding BYes Q No
D 550,000 in \$100,000	b) Risk of Loss Exes [1 May
D 525,000 to \$50,000	et PFG's Margin Policy D Yes D No
☐ If less than \$25,000 - please complete the Administral Risk Disclosure statement on page 57	d) Foreign Exchange Testing B Yes I No
2 NewWorth (excluding equity in home) (U.S. Dollars);	12 Principal Bank Reference: (1.)
B'O.er 5100,000	Branch 144 Jank
□ \$30,000 to \$100,000	City/State_Mt MEasont J. MI
II \$35,000 to \$50,000 - picase complete the Additional Risk Disclosure statement on page 37	
D Los that \$45,000)	13. Does any other person, other than the account owner(s) have the
	authority to trade this account! U Yes & No
3. Liquid Net Worth (U.S. Dellars): Graver \$50 (100)	If yes, complete the Discretionary Account Documents,
D 530,000 a 350,006	14. Have you ever been party to an investigation, complaint or
DISTRUME & SAUDON	settlement with the NFA. CFTC. SEC. or other?
© Less than \$15,000	D Yes DPNo
1 m	If yes, please exploin
Have you ever declared hankrupicy? U Yes, W/No     H'yes, please provide a copy of your Order of Discharge)	The second secon
to year pietric partenic a copy of your Order of Diacharges	
3. Do you have or ever had any other account with PFO? If Yes D No. 11 yes, account number: FOSCO-2	
1 - 12 - 19 - 11 - 12 - 13 - 13 - 13 - 13 - 13 - 13	<ol> <li>Do you have a pending or have ever made a complaint regarding a</li> </ol>
6. Are con more or were you ever an NEA, NASD, CFTC in SEC member?	past commodity futures or securities account?
Dies Wilo II yes. Reg. Status and Sponsor:	D ves B'No
VEX. 25 C   VEX.	If yes, please explain:
7. Investment Experience - Musa Cheek You or No	
Sicks Bonds Exes UNo	
Funds Dis Dis	4
Cormodium BYes D No Crasus BYes D No	16. Do you require daplicate statements? If Yes If No
Cinema B 161 D 161	If yes, name and address:
8. Wind type of account are you opening "(Must cheek one)	
C Speculative account	
0.00	and the control of th
9. Do con intend to trade security futures products \(\mathbb{P}\) SEP*Y2  El Yea (See SEP risk disclosure on page 21) El No	17. PFG currently charges a postage and handling fee for each daily confirmation
If it is, what are you investment objective/risk tolerance?	and monthly statement. If you do not wish to receive e-mail confirmations in
	statements check the box below,
It your observe is to produce income, do you understand that there is risk of	El I decline e-mail confirmations and agree to pay the postage and
has in trading these contracts? If Yes D No	handling (cc.
f) Are you a "control person" or an "attiffate" of a public company as	18. I am working with the fullowing person antion office-
defined by SEC Rule 14.7 This would include but not necessarily	P. Leader March States
limited to 104 shareholders, policy making executives and members	
of the Board of Directors.	
Li Yes Trading Symbol Cf No	
Company Name	
he undersigned hereby attests) and agree(s) that the above information is complete.	e and retrieve and and of a brown
floripation. The analezaigned further verifies that the above information was complete	and accorded that mannerscens) (194) to venity any or all of the foregoing
( lah	and a second of contract contracts
ustomer Signature	
	0/4/0
rant Name James Keron	9/1/2/24
The state of the s	Date 1/10/0
	<i>t F</i>
istomer Stenature	
rim Name	
20.050s	Duic

Customer Agreement
Social Security or Tax ID Certification
This section must be completed for all accounts.
The Social Security or Tax Identification number for this account will be:
Do you consider this account tuxuble in the United States? If Yes D No.
Under penalties of perjury, I certify (1) the number shown on this form is the correct Social Security or Taxpayer Identification number and (2) the ownership, or hencificary, of this account is not subject to backup withholding under Section 3406(a)(1)(C) of the Internal Revenue Code.
X Jan
Customer Signature
Print Name lames tieron Date 4/16/04
Hedging Agreement  Unless specified in writing to the contrary. PFG is hereby notified that all transactions effected for the undersigned's account and all positions take in this account in the commodities set out below will be bona fide hedging transactions and positions as defined in Section 4a(3) of the Commodit Exchange Act, as unreaded, and Regulation 1 3(2) promulgated thereunder by the Commodity Putures Trading Commission ("CFTC": Commodities that will be traded in an opening short or long position are designated:
The regulations of the CFTC require PFG to provide each hedge Customer the opportunity to issue instructions to liquidate or not liquidate all hedging positions in the unlikely event that PFG becomes bankrupt.  Customer electer D to liquidate D not to liquidate all Customer's hedging positions in the event of PFG's bankruptey. If neither how is checked Customer will be deemed to have chosen to baye all Customer's hedging positions liquidated if PFG becomes bankrupt.
The undersigned agrees that all transactions and positions executed or carried in this account will be consistent with the above provisions and interpretations thereof. The undersigned also agrees that it is not the responsibility of PFG to determine if transactions in this account
junify as bona fide hedges. The undersigned also agrees that their purpose to hedge is economically appropriate to the reduction of risk in he conduct and management of Customer's commercial enterprise.
Attach a capy of this page for additional signatures.)
•
usromer Signature
rin NumeDute
(
Tustomer Signature
riat Vans Date

Re: [SPAM] - RE: IB Technologies acct - Embedded GIF

Page 1 of 19

## Allison Vaala

From:

James Mason [jdmason321@gmail.com]

Sent:

Monday, September 28, 2009 6:48 AM

To:

Allison Vaala

Subject: [SPAM] - RE: [SPAM] - RE: IB Technologies acct (emails blocked) - Embedded GIF - Embedded GIF

No worries. Our emails seem to be acting up. The temp, email is statements@idfx.com.

Please let me know if you need anything else, and that you've received this... ©

Thanks

James

From: Allison Vaala [mailto:avaala@pfgbest.com]

Sent: Monday, September 28, 2009 07:05

To: James Mason

Subject: RE: [SPAM] - RE: IB Technologies acct (emails blocked) - Embedded GIF

Sorry for any inconvenience. I was out of the office Friday. You must not have gotten my previous message. I just need an email address to open the account.

Thank you!

Allison Vaala, New Accounts Department One Peregrine Way Cedar Falls, IA 50613 319-553-2136 | 319-277-0880 fax



From: James Mason [mailto:jdmason321@gmail.com]

Sent: Friday, September 25, 2009 11:54 AM

To: Amanda Murphy; Allison Vaala

Subject: [SPAM] - RE: IB Technologies acct (emails blocked) - Embedded GIF

Hello Amanda/Allison,

Thank you for the update...

Our sys admin has informed me that our emails (<a href="mailto:james.mason@jdfx.com">james.mason@jdfx.com</a>) are being blocked by PFG, can you please forward this to your IT guys?

Port 25 did not respond on server mail.pfgbest.com. Unless the SMTP port has been changed on server mail.pfgbest.com, mail flow problems will occur.

Thank You.

James

Re: [SPAM] - RE: IB Technologies acct - Embedded GIF

Page 2 of 19



## **James Mason**

Head of Client On-Boarding & Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416 email <u>james\_mason@idfx.com</u> web <u>www,Jdfx.com</u>

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From: Amanda Murphy [mailto:amurphy@pfgbest.com]

Sent: Friday, September 25, 2009 12:36 To: jdmason321@gmail.com; Allison Vaala

Subject: Re: [SPAM] - RE: IB Technologies acct - Embedded GIF

James.

I asked this to be open in 2AN. Your other sales code is for self directed business, if you change your business model.

Allison, did you open this account for james?

Amanda Sent from blackberry

---- Original Message ----

From: James Mason <jdmason321@gmail.com>

To: Amanda Murphy; Allison Vaala Sent: Fri Sep 25 11:24:32 2009

Subject; [SPAM] - RE: IB Technologies acct - Embedded GIF

Hello Amanda/Allison,

For some reason the last few mails I've sent you have bounced back, so I'm now trying from my gmail acct...

I'm wondering why we have to diff. sales codes?

The temp. email for statements will be statements@jdfx.com.

Please let me when the acct. is opened and ready to be funded, and that you've received this.

Thanks!

Re:	SPAM	- RE:	IB	Techno	logies	acct -	Embedded	GIF
-----	------	-------	----	--------	--------	--------	----------	-----

Page 3 of 19

James

From: James Mason

Sent: Wednesday, September 23, 2009 11:45 To: 'Amanda Murphy'; Allison Vaala Subject: RE IB Technologies acct

Hi Amanda.

Can you please explain what the sales code is, and why we have 2?

Thanks

James

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 +1 989 774 7589

fax +1 989 774 2416

email <<u>mailto:james.mason@jdfx.com</u>> james.mason@jdfx.com

web <http://www.jdfx.com/> www.jdfx.com

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From: Amanda Murphy [mailto:amurphy@pfgbest.com]
Sent: Wednesday, September 23, 2009 11:32

To: Allison Vaala; James Mason Subject: RE: IB Technologies acct

Allison,

Please open in 2AN

PFG000609

Re: [SPAM] - RE: IB Technologies acct - Embedded GIF	Page 4 of 19
Amanda Murphy, Business Development, Institutional Sales 190 S. LaSalle St., 7th Floor Chicago, IL 60603 866-231-0101 312-775-3595	
From: Allison Vaala Sent: Wednesday, September 23, 2009 9:23 AM To: James Mason Cc: Amanda Murphy Subject: RE: IB Technologies acct	
I see that you have two Meta Trader Sales codes 210 and 2AN. Please let me know which one you plan to us	ee.
Allison Vaala, New Accounts Department	
One Peregrine Way	
Cedar Falls, IA 50613 319-553-2136   319-277-0880 fax	
From: James Mason [mailto:james.mason@jdfx.com] Sent: Wednesday, September 23, 2009 9:03 AM To: Allison Vaala Subject: RE: IB Technologies acct	
This is a forex acct.	
Sales code?	

James Mason

Page 5 of 19

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email <mailto:james.mason@jdfx.com>james.mason@jdfx.com

web < http://www.jdfx.com/> www.jdfx.com

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From: Allison Vaala [mailto:avaala@pfgbest.com] Sent: Wednesday, September 23, 2009 09:53

To: James Mason

Subject: RE: IB Technologies acct

I still have not received the full set of articles. Is this a futures or forex account? I will need:

Sales code

If futures I will also need office and commissions.

Thanks!

Allison Vaala, New Accounts Department

One Peregrine Way

Cedar Falls, IA 50613

319-553-2136 | 319-277-0880 fax

From: James Mason [mailto:james.mason@jdfx.com] Sent: Wednesday, September 23, 2009 8:31 AM

To: Allison Vaala

Subject: RE: IB Technologies acct

Re: [SPAM] - RE: IB Technologies acct - Embedded GIF	Page 6 of 19
Hi Allison,	
Ok, the personal guarantee is attached.	
Please let me know if you need anything else.	
Thanks!	
James Mason	
Head of Client On-Boarding	
& Client Services	
mobile +1 810 844 3443 tel -1 989 774 7589 fax +1 989 774 2416 email <mailto:james.mason@jdfx.com> james.mason@jdfx.com</mailto:james.mason@jdfx.com>	
web <http: www.jdfx.com=""></http:> www.jdfx.com	
This e-mail contains confidential information from JDFX - intended only for the use of designated recipient(s). If you received this message in error - law prohibits any unauthorized use, reproduction, or distribution.	
From: Allison Vaala [mailto:avaala@pfgbest.com] Sent: Monday, September 21, 2009 11:08 To: James Mason Subject: RE: IB Technologies acct	
Signing the personal guarantee is part of opening the account. In order to open the account, it will need to	be signed.
Thank you!	
Allison Vaala, New Accounts Department	
One Peregrine Way	
Cedar Falls. 1A 50613	

Page 7 of 19

319-553-2136 | 319-277-0880 fax

From: James Mason [mailto:james.mason@jdfx.com] Sent: Monday, September 21, 2009 10:04 AM

To: Allison Vaala

Subject: RE: IB Technologies acct

Importance: High

Hi Allison,

I've attached pg 3 and the corp. funds pg.

James is not comfortable with signing a personal guarantee.

Thanks

James

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 \$10 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email < mailto:james.mason@jdfx.com > james.mason@jdfx.com

web <http://www.jdfx.com/>www.jdfx.com

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From: Allison Vaala [mailto;avaala@pfgbest.com]

Sent: Friday, September 18, 2009 08:25

To: James Mason

Subject: RE: IB Technologies acct

Here is a copy of it that he will need to sign.
Thanks!
Allison Vaala, New Accounts Department
One Peregrine Way
Cedar Falls, IA 50613
319-553-2136   319-277-0880 fax
From: James Mason [mailto:james.mason@jdfx.com] Sent: Thursday, September 17, 2009 6:09 PM
To: Allison Vaala Subject: Re: IB Technologies acct
What is a corporate own funds letter?
Regards
James
Sent from my iPhone
On Sep 17, 2009, at 9:42, "Allison Vaala" <avaala@pfgbest.com> wrote:</avaala@pfgbest.com>
Page 3 and 34 are still missing. You will also need a corporate own funds letter and a full set of articles to open the account.
of the second and the second and the second and a full second and
Thanks!
<image002.gif></image002.gif>
Allison Vaala, New Accounts Department
Allison Vaala, New Accounts Department One Peregrine Way

Page 8 of 19

Page 9 of 19

<image003.gif>

From: James Mason [mailto:james.mason@jdfx.com] Sent: Wednesday, September 16, 2009 7:05 PM

To: Allison Vaala

Subject: RE: IB Technologies acct

Importance: High

Hi Allison,

I've attached the pages you required me to fill out for a new corporate acct. (3, 4, 13, 14, 16, 32 or 33, 34, & 37)

Please let me know if you need anything else.

Thanks!

<image005.gif>

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email <mailto:james.mason@jdfx.com>james.mason@jdfx.com

web < http://www.jdfx.com/> www.jdfx.com

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From: Allison Vaala [mailto:avaala@pfgbest.com]
Sent: Wednesday, September 16, 2009 16:18

To: James Mason

Subject: RE: 1B Technologies acct

Hi James,

Page 10 of 19

Any documents for the account need to be filled out/signed by the client. Which documents were you wondering about?

<image002.gif>

Allison Vaala, New Accounts Department

One Peregrine Way

Cedar Falls, 1A 50613

319-553-2136 | 319-277-0880 fax

<image003.git>

From: James Mason [mailto:james.mason@idfx.com]

Sent: Friday, September 11, 2009 1:57 PM

To: Allison Vaala

Subject: RE: (B Technologies acct

Ok. Can you please send me a copy of his acct app, so I have info to go off of?

Thanks

<image005 gif>

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email <mailto:james.mason@jdfx.com> james.mason@jdfx.com

web <a href="http://www.jdfx.com/">www.jdfx.com/</a>

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From: Allison Vaala [mailto:avaala@pfgbest.com]

Sent: Friday, September 11, 2009 14:39

To: James Mason

Page 11 of 19

Subject: RE: IB Technologies acct

For tax purposes we are unable to do that. He will need to fill out new corporate account documents.

Thanks!

<image002.gif>

Allison Vaala, New Accounts Department

3812 Cedar Heights Drive

Cedar Falls. IA 50613

319-277-5240 | 319-277-0880 fax

<image003.git>

From: James Mason [mailto:james.mason@jdfx.com]

Sent: Friday, September 11, 2009 1:36 PM

To: Allison Vaala

Subject: RE: IB Technologies acct

Is it possible to transfer/update James existing acct (FQ562) into a corporate acct?

Thanks

<image005.gif>

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email < mailto: james.mason@jdfx.com > james.mason@jdfx.com

web <http://www.jdfx.com/> www.jdfx.com

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Page 12 of 19

From: Allison Vaala [mailto:avaala@pfgbest.com] Sent: Friday, September 11, 2009 14:11

To: James Mason

Subject: RE: IB Technologies acct

3, 4, 13, 14. 16, 32 or 33, 34. He will also need a corporate own funds letter and full set of articles. Also it wouldn't hurt to fill out page 37, the additional risk disclosure, in case they need to do it later.

<image002.gif>

Allison Vaala, New Accounts Department

3812 Cedar Heights Drive

Cedar Falls, 1A 50613

319-277-5240 | 319-277-0880 fax

<image003.gif>

From: James Mason [mailto:james.mason@idfx.com]

Sent: Friday, September 11, 2009 12:50 PM

To: Allison Vaala

Subject: RE: IB Technologies acct

Hello Allison,

Can you please send me the app. to open a new corporate acct?

Thanks

<image005.gif>

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443

tel +1 989 774 7589

+1 989 774 2416

email <mailto:james.mason@jdfx.com> james.mason@jdfx.com

Page 13 of 19

web < http://www.jdfx.com/> www.jdfx.com

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From: Allison Vaala [mailto:avaala@pfgbest.com]
Sent: Friday, September 11, 2009 13:48
To: James Mason
Cc: Meredith Parizek
Subject: RE: IB Technologies acct

If you need a new corporate account, new paperwork needs to filled out. Also Meredith no longer works for PFG. You can either mail I or newaccounts@pfgbest.com.

Thanks!

<image002.gif>

Allison Vaala, New Accounts Department

3812 Cedar Heights Drive

Cedar Falls, IA 50613

319-277-5240 | 319-277-0880 fax

<image003.gif>

From: James Mason [mailto:james.mason@jdfx.com] Sent: Thursday, September 10, 2009 10:39 AM To: Allison Vaala

Cc: Meredith Parizek

Subject: RE: IB Technologies acct

Hello Allison,

We need a new corporate account setup under IB Technologies Inc.

Thank You,

Page 14 of 19

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email <mailto:james.mason@jdfx.com>james.mason@jdfx.com

web < http://www.jdfx.com/> www.jdfx.com

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From: Allison Vaala [mailto:avaala@pfgbest.com]

Sent: Thursday, September 10, 2009 11:21

To: James Mason

Subject: RE: IB Technologies acct

We already have an account open for James Pieron. The account number is FQ562.

Thanks!

From: New Accounts

Sent: Wednesday, September 09, 2009 3:36 PM

To: Allison Vaala

Subject: FW: 1B Technologies acct

Look at Meredith's sent emails and see if you can find the info below.

Thanks,

<image002.gif>

Tara Kane, New Accounts Department

3812 Cedar Heights Drive

Cedar Falls, IA 50613

Page 15 of 19

319-277-5240 . 319-277-0880 fax <image006.gif>

From: James Mason [mailto:james.mason@jdfx.com] Sent: Wednesday, September 09, 2009 2:38 PM

To: Meredith Parizek

Subject: IB Technologies acct

Hello Meredith,

I will be handling the account opening for IB Technologies Inc. Please let me know what you need?

FYI: We are a FOREX software development company.

Thank You,

James Mason

Head of Client On-Boarding

& Client Services

mobile +1 810 844 3443 tel +1 989 774 7589 fax +1 989 774 2416

email <mailto:james.mason@jdfx.com>james.mason@jdfx.com

web <http://www.jdfx.com/> www.jdfx.com

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- intended only for the use of designated recipient(s). If you received this message in error - law prohibits any unauthorized use, reproduction, or distribution.

From: Meredith Parizek [mparizek@pfgbest.com] Sent: Friday, July 10, 2009 3:11 PM To: James Pieron; Bruce Pollack Cc: Christine Phillips Subject: RE: James Pieron

James,

What industry is your company in?
Thank you!
<image002.gif></image002.gif>
Meredith Parizek, New Accounts Department
3812 Cedar Heights Drive
Cedar Falls. IA 50613
319-277-5240   319-277-0880 fax
<image003.gif></image003.gif>
From: James Pieron [mailto:james.pieron@jdfx.com] Sent: Friday, July 10, 2009 1:52 PM To: Bruce Pollack Cc: Meredith Parizek; Christine Phillips Subject: RF: James Pieron
Hi Bruce,
Job title is CEO. Concerning the photo ID, today is our last day in Switzerland and the FAX machine is already gone! Everything has/is moving to Mt. Pleasant (Michigan) and Chicago. Starting July 20, we will be operating in the US full time and I can hand deliver any additional docs you need then.
Thanks,
James
Christine, if you have my passport on file (PDF), send via a <reply all="" to="">. thanks, JP.</reply>
From: Bruce Pollack [bpollack@pfgbest.com] Sent: Friday, July 10, 2009 2:39 PM To: James Pieron Cc: Meredith Parizek Subject: RE: James Pieron
James what is an appropriate job title for you and can you resend the photo ID?

Page 16 of 19

Bruce
<image002.gif></image002.gif>
Bruce Pollack, Vice President Forex Division
190 S. LaSalle St., 7th Floor
Chicago, IL 60603 312-775-3486   312-775-3095 fax
<image003.gif></image003.gif>
From: Meredith Parizek Sent: Thursday, July 09, 2009 12:11 PM To: Bruce Pollack Subject: RE: James Pieron
I have received the W8 and a very bad copy of the ID. Please have him resend the ID, and I still need to know what his job is?
Thank you!
<image002.gif></image002.gif>
Meredith Parizek, New Accounts Department
3812 Cedar Heights Drive
Cedar Falls, IA 50613
319-277-5240   319-277-0880 fax
<image003.gif></image003.gif>
From: Bruce Pollack Sent: Tuesday, July 07, 2009 2:12 PM To: Meredith Parizek; 'jp@jdfx.com' Cc: Nolan Schiff; Wendy Swarens Subject: RE: James Pieron

Page 17 of 19

James.

Can you provide Meredith with the following?
Meredith.
You can use sales code 181.
Thanks,
Bruce
<image002.gif></image002.gif>
Bruce Pollack, Vice President Forex Division
190 S. LaSalle St., 7th Floor
Chicago, IL 60603 312-775-3486   312-775-3095 fax
<image003.gif></image003.gif>
From: Meredith Parizek Sent: Tuesday, July 07, 2009 1:54 PM To: Bruce Pollack Subject: James Pieron
Bruce.
To open the account for James Pieron, I will need:
Photo ID
W8
Sales code
Own Funds letter
What is his job?
Thank you!

Page 18 of 19

# Jennifer Elwood

From:

newaccounts@pfmail.com

Sent:

Friday, February 15, 2008 3:36 PM

To:

Jennifer Elwood; nsrt@jdfx.com; trevorc@popp.net; maryanne@folioadmin.com;

ruby@folioadmin.com

Subject:

PFG New Live Forex Account

Congratulations James D. Fieron.

Welcome to PFG, Inc. This e-mail is to confirm your new account has been opened, you will find login details and account specific information below. Should you ever have any questions regarding your account please feel free to contact customer support at 312-775-3572.

WEBSITE LOGIN: Username: FD864 Passworc: gergw3

URL: https://www.pfgforex.com

ACCOUNT INFORMATION: Forex Account: FD864 James D. Pieron Usteristrass9 8001 Zurich, CH, Switzerland e-mail: nsrt@idfx.com

e-mail: nsrt@jdfx.com Phone: 41434436900

Broker: (BF186) - UBS Diversified, LLC

POA: IRA:

Letter of Direction:

### FUNDING INFORMATION:

If you have not yet funded your account please click the link below in order to access our account funding instructions: https://www.pfgforex.ccm/ClientServices/FundingAccount.aspx

Foreign Exchange ("Forex") transactions entered into with PFG are not traded on an exchange. Therefore, under the U.S. Bankruptcy Code, your funds may not receive the same protections as funds used to margin or guarantee exchange-traded fitures and options contracts, which receive a priority in bankruptcy. Since that same priority has not been given to funds used for off-exchange forex trading, if PFG becomes insolvent and you have a claim for amounts deposited or profits earned on transactions with PFG, your claim may not receive a priority. Without a priority, you are a general creditor and your claim will be paid, along with the claims of other general creditors, from any monies still available after priority claims are paid. Even customer funds that PFG keeps separate from its own operating funds may not be safe from the claims of other general and priority creditors.

#### MANAGED ACCOUNT):

If you are a managed account customer or participating in an automated system you may review your account via our coline account access 24 hours per day through our website: https://www.pfgforex.com

Select: Client Area from the menu on the left-hand side of the page and when prompted enter your Login ID and password as noted above.

#### SELF-DIRECTED TRADER:

If you are a self directed trader (Placing trades on your own without a system on Trading manager you may access your account information through the webpage: https://www.pfgforex.com/client

For further details, please visit our website: https://www.pfgforex.com

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O Individual O Tous O General Partnership	The Designation of the contract
Sole Proprietorship D'Corparation/LLC D'Limited Partnership D     Pengina Plan/IRA D'Commodity Pool D'Other	John Tenants with Right of Succivership I John Tenants in Communi
Account INFORMATION Account Mailing Address: US-ECS-COSS 800 Zus Telephone number for account transaction information: + 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	ch CH Suitzerland
CUSTOMER INFORMATION This form is to be completed for each participant in the account, individually, jointly, by all gen rized to make trading decisions for the account. For the purpose of this discontent the term "Or which this Application has been made, regardless of legal description. Federal law requires bill formation that identifies each person who opens an account, in adultion to the following inform other identifying documents:	stoner always refers to the entity or person(s) for
Individual #1: Full Name: State State State Constitution of Co	Dige of Birth: OA 1 1969 Appropriate Status: S. 111
Number of Dependents: Citizenship. U.S. Citizen III No. 11 no. what coun Employer's Name: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Years There Position Held: CEO
Individual #2:	
Full Name:	Date of Birth:
Specif Address: Specie: 736	Apartment/Sune
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Customer Agreement

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The residence of the productions of the product of	1. On you have or ever had any other necessar with PPCP D Yes Who	15. Die you have a funding on have not made it complaint regarding a part transport? Interesting a securities account?
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in the Board of Directors    Yes Triding Symbol.	D Yes (See See See disclosure on page 21) II No If yes, what are you harstnich objective first tolerance?  If your objective has produce income, do you anderstand that there is risk of too in trading those contracts of Yes II No I. Are you a "control person" or on a Tablesee" of a public tempany as defined by SEC Rule 4-48 This world nichole, but not necessarily.	U forthan e-high confirmations and here's to the the excession and
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Peregrine Financial Group 190 S. LaSalle Street 7<sup>th</sup> Floor Chicago, IL 60603

To: The New Accounts Department

Please be advised that our corporate account is being traded with corporate funds only. We also do not solicit customer funds.

Print Name

Signature

Signature

07 Jul 2009 20:03 JDFX

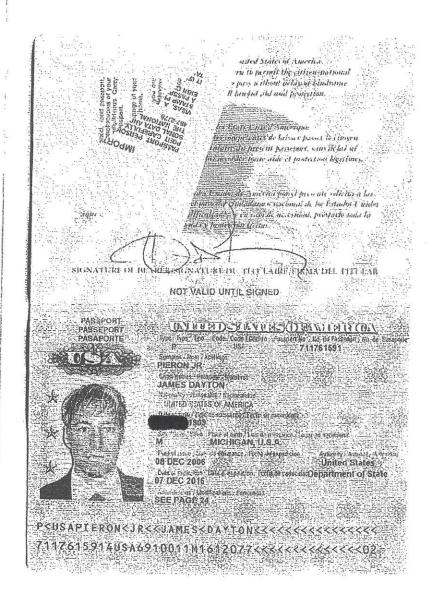
p.3

Certificate of Foreign Status of Beneficial Own for United States Tax Withholding Department of the Treasury Internal Revenue Service  Do not use this form for.  Certificate of Foreign Status of Beneficial Own for United States Tax Withholding  Section references are to the Internal Revenue Code. Sec separate inst  So not use this form for.	OMB No. 1645-1621
<ul> <li>A U.S. citizen or other U.S. person, including a resident alien individual.</li> <li>A person claiming that income is effectively connected with the conduct of a trade or business in the United States.</li> <li>A fareign partnership, a tensign simple trust, or a foreign granter trust (see instructions for exceptions).</li> <li>A fareign government, international organization, foreign central bank of issue, foreign tax-exempt organization foreign private foundation, or government of a U.S. possession that received effectively connected income of the private foundation, or government of a U.S. possession that received effectively connected income of the private foundation or government of a U.S. possession that received effectively connected income of the private applicability of section(s) 115(2), 501(c), 392, 895, or 1443(b) (see instructions)</li> </ul>	on, or that is
A person acting as an intermediary  Nete: See instructions for additional exceptions.	W-BIMY
Part I Identification of Beneficial Owner (See Instructions.)	
1 Name of individual or organization that is the beneficial owner 2 Countries Discount	try of incorporation or organization
3 Tree of horoficial current 12	
Grantor bust Complex trust Estate Government Complex trust	International organization
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care University attended to the control of the contro	of address.
City or town, state or province. Include postal code where appropriate.	County (de not by
CH-8006, Zurich	Country (do not abbreviate) Switzerland
5 Malling address (if different from above)	
City of fown, state or province. Include postal code where appropriate.	Country (do not abbreviate)
	entifying number, if any (optional)
8 Reference number(s) (see Instructions)	
Claim of Tax Treaty Benefits (if applicable)  B. Lostlik that (check all that applic	
The state of the s	
b If required, the U.S. taxpayer identification number is stated on line 6 fans instructional	•
The beneficial owner is not an individual, seriese the item for items) of income for which the treaty be applicable, mosts the requirements of the treaty provision dealing with limitation on benefits (see instr	uctions).
d The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a forei U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).	
The beneficial owner is related to the person obligated to pay the income within the meaning of section form \$333 if the amount subject to withholding received during a calendar year exceeds, in the aggree	gale, \$500,000.
D Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisi	ons of Article of the
treaty identified on line Sa above to claim a	
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art III Notional Principal Contracts	
I have provided or will provide a statement that identifies those notional principal contracts from which	
connected with the conduct of a trade or business in the United States. I agree to update this statem	i the income is not effectively int as required.
Part IV Certification	
nder pensities of perjuy, I declare that I have examined the Intermedian on this form and to the past of my knowledge and bell that partity under pensities of perjury that:	in' it is inse, correct, and complete.
I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates, The beneficial owner is not a U.S. person,	
The knome to which this farin telable is (a) for Effectively Connected with the conduct of a trade or business in the United State State of the partners of the state of the partners of the partnership's effectively connected income, and for support to say under an income tax treaty. In (c) the partnership is an exempt foreign passon as defined in the maintedions, athermore, I surfnertex this form to be provided to any withouters again that has combe, or custody of the income of the which is good that can disburse or make payments of the income of which I am the beneficial awars.	ites, (b) ethotively connected but is
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ry withholding agent that can discurse or implies payments of the income of which I am the beneficial owner.	
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Signative of beneficial owner (or lodividual authorized to sign for beneficial owner)  Data (MM-DD-Y)  Preparaments Reduction Act Notice, see separate instructions.  Cat. No. 250472	The state of the s
Printed an Bacycled Report	Form W-8BEN (Rev. 2-2006)

RECEIVED 07-07-'09 13:56 FROM-

TO- PFGBEST.COM

P003/004



# FD865

#### Jennifer Elwood

From:

newaccounts@pfmail.com

Sent:

Friday, February 15, 2008 3:40 PM

To:

Jennifer Elwood; nsrt@jdfx.com; trevorc@popp.net; maryanne@folioadmin.com;

ruby@folioadmin.com

Subject:

PFG New Live Forex Account

Congratulations James D. Fieron.

Welcome to PFG, Inc. This e-mail is to confirm your new account has been opened, you will find locir details and account specific information below. Should you ever have any questions regarding your account please feel free to contact customer support at 312-775-3572.

WEBSITE LOGIN: Username: FD865

Password: gergs

URL: https://www.pfgforex.com

ACCOUNT INFORMATION: Forex Account: FD865 James D. Pieron

James D. Pieron Usteristrass9 8001 Zurich, CH, Switzerland

e-mail: nsrt@jdfx.com Phone: 41434436909

Broker: (3F186) - UBS Diversified, LLC

POA: IRA:

Letter of Direction:

#### FUNDING INFORMATION:

If you have not yet funded your account please click the link below in order to access our account funding instructions:

https://www.pfgforex.com/ClientServices/FundingAccount.aspx

Foreign Exchange ("Forex": transactions entered into with PFG are not traded on an exchange. Therefore, under the U.S. Bankruptcy Code, your funds may not receive the same protections as funds used to margin or guarantee exchange-traded futures and options contracts, which receive a priority in bankruptcy. Since that same priority has not been given to funds used for oif-exchange forex trading, if PFG becomes insolvent and you have a claim for amounts deposited or profits earned on transactions with PFG, your claim may not receive a priority. Without a priority, you are a general creditor and your claim will be paid along with the claims of other general creditors, from any monies still available after priority claims are paid. Even customer funds that PFG keeps separate from its own operating funds may not be safe from the claims of other general and priority creditors.

# MANAGED (ACCOUNT):

If you are a managed account customer or participating in an automated system you may review your account via our online account access 24 hours per day through our website: https://www.pfgforex.com

Select: Client Area from the menu on the left-hand side of the page and when prompted enter your Login ID and password as noted above.

# SELF-DIRECTED TRADER:

If you are a self directed trader (Placing trades on your own without a system on Trading manager) you may access your account information through the webpage: https://www.pfgforex.com/plient

For further details, please visit our website: https://www.pfqforex.com

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Account Walling Address  Lister States  Deployable dilutable for account presisting information:  Esmal Address  ABC + Core  CUSTOMER INFORMATION  This form is to be combiled for each perintegrate in the accounts individually jetuity, by all general partness, and by its comparate officers authorized to make trading declination for the account. For the improve of this document like term "Customer" always refers to the endity or personals for which this Applityment has been made. Provides at helpid disertipation. Festeral law requires and financial institutions to obtain: certify and record in general inflighting accluments.  Individual #1:  Full Name:  Late Core  Date of Birth.  Applityment of Dependents:  Chilosophip: U.S. Chilen III has the first and required and financial institution. Not may also take a see your driver's dicease or other filled address.  Individual #1:  Full Name:  Chilosophip: U.S. Chilen III has the first and the country.  Engloyer's Name:  Complete Complete Control of the Complete C	O Individual  O Sole Proprietorship	B Corporation/LLC	Conein Parmership	I Joun Tenaus with Right of Survivoiship
This form Is to be combeted for each perioripate in the account, findividually, jointly, by all general partners, and by the corporate officers aultiorized to make trading desistants for the account, far the purpose of link december the term "Casconer" alongs reflects to the entity or person for which this planting desistants here individually described in Section 1 and required institutions to the initiative in the reflection and the section of the section in the result like each person who opens an account, in addition to the following information, we may also use your driver a license or other identifying accomplete.  **Tradividual #1:**  Full Plant:  Storet Address:	Account Mailing Address Telephone alumber for account Esmail Address	Uster stross Uspection interpolation C+ C S+X . C	Trad L. H. 1800 746	ch CH Buitzerland 3 CACO
Full Name:  Street Address: Late State  Street Address: Late State  Telephone: Late State  Consoling Its College of State  Nature of Business:  Detecting of College of College of College of State  Nature of Business:  Detecting of College of	This form is to be completed in rized to make trading decision which this Application has bee formation that electrics each p other identifying decisions is	of each participant in the ac a for the account. For the pa named to maident of tend	upose of this cocument the term "Cu	stomer, a justice to the cultivor betsouted for
Nature of Business:	Full Name: Co. Strict Address: Artive/ City: Sur Co. Telephone: F. G. J. Number of Dependents: Sur	4.3 6900 2 Chizonship: 11.5. c	Zipx 800 Zipx Soc. Soc. Soc. For Tax IDF:	Apartment/Suho.
Fall Klades:  Social Address:  Tolephone:  Tolephone:  Social of The Tolephone:  Number of Dependents:  Chizeffold:  Chize	Nature of Business: Sig- fingloyer's Tolephone FTI 4 If joint account, percentage of o	1 443 (%CO	lopment/1/7	and the state of t
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Custome	er Agreement
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A new Contraction of the contrac	MUST BE ANSWERED;
1. Angulal locome (U.S. Dollars):  Over \$100,000  U.\$20,000 in \$100,000  U.\$20,000 in \$20,000  U.\$20,000 in \$25,000 - jileater complete the Net Income statement on page 3.  2. Net North (excluding equity in norm) (U.S. Dollars):  Over \$100,000  U.\$50,000 in \$100,000	11. Do you understand: in Patures Trading Pres II No. in Rick in Lais. in Rick in Lais. in Perox Margin Pollsy.  12. Principal Think Reflectors. Principal Think Reflectors. Principal Think Reflectors. Principal Think Reflectors.
13 Light Net Worth (U.S. Dallars): 12 Gver \$30,000 13 \$30,000 to \$50,000 13 \$30,000 to \$50,000 13 \$15,000 to \$50,000 13 Light Spirit	13. Open any other person, other than the account ownerth have the authority to trade this account? If yes in the in the if yes, compared the Descriptionary Account Ductioneurs.  14. Here you ever been party to an investigation, complaint or settlement of the in the complaint of the interest of the complaint of the interest of the i
4. Have you ever decolood insukramicy (I his II his II his III his please provide a copy of your Order of Discharge)  5. Do you have so ever had any other nevanor with PP (1) II Yes II he II yes, records number.	II 903, please usplicite
S. Are you now were you ever as NIVA, NASO, CRUC or She's member?  U you silve the Reg. Status and Spontage.  7. Investment Experience - Music Creek Yea of No Succlessional U Yes II No Succlessional U Yes II No Commenciates U Yes II No U Yes (See Sept case this election on page 21) If No U Yes (See Sept case this election on page 21) If No U Yes (See Sept case this election on page 21) If No U Yes (See Sept case this election on page 21) If No U Yes (See Sept case this election of page 21) If No U Yes (See Sept case this election of page 22) If No U Yes (See Sept case this election of the direction of the direction of the second	15. Do you have a pending or have give made a complaint regarding a part composity futures or exemples account?  (1) Yes to be a applied.  (a) Yes to be a posting and handling fee for each daily confirming used meaning the formula confirming and meaning the formula confirming and meaning the formula confirming the formu
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in Name	PSK

Percegrine Financial Group 190 S. LaSalle Street 7<sup>th</sup> Floor Chicago, IL 60603

Print Name

Print Name

Signature

To: The New Accounts Department

Please be advised that our corporate account is being traded with corporate funds only. We also do not solicit customer funds.

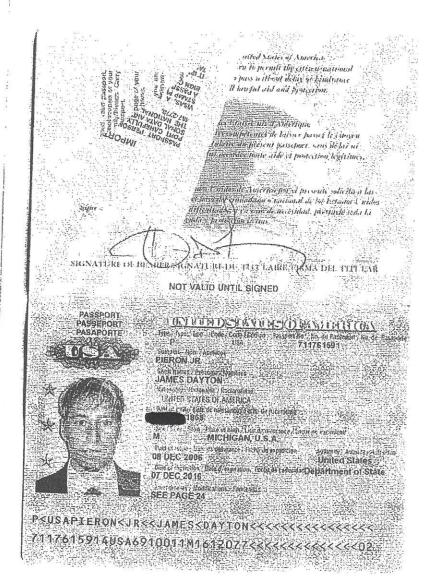
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Form W-BBEN	Certificate	of Foreign Stati	is of Renefi	ciai Owner	1
(Rév. February 2008)	ror u	inited States To	ax Withhold	in es	244500 PM 200000 20 00
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A person acting as an i Note: See instructions for	BELLEVEN CONT.				W-BIMY
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RECEIVED 07-07-'09 13:56 FROM-

PFGBEST.COM

P003/004



# FQ562

# lanewaccts

From:

**New Accounts** 

Sent:

Friday, July 10, 2009 3:09 PM

To:

Wendy Swarens; Bruce Pollack

Subject:

RE: James Pieron

Attachments:

James Pieron.mht; Pieron checklist.mht

The account is now open. The account number is FQ562.

Thanks! Angelica

Ianewaccts,
3812 Cedar Heights Drive
Cedar Falls, IA 50613
319-553-2100 | 319-277-0880 fax

There is a substantial risk of loss in futures, futures options and forex trading!

----Original Message----

From: Wendy Swarens

Sent: Wednesday, July 08, 2009 7:54 AM

To: Meredith Parizek

Cc: Managed FX

Subject: FW: James Pieron

Attached is the 2nd acct request. It came in on our fax.

----Original Message----

From: Bruce Pollack

Sent: Tuesday, July 07, 2009 2:19 PM

To: 'James Pieron'

Cc: Meredith Parizek; Wendy Swarens; Nolan Schiff

Subject: RE: James Pieron

Attached.

Bruce Pollack, Vice President Forex Division

190 S. LaSalle St., 7th Floor

Chicago, IL 60603

312-775-3486 | 312-775-3095 fax